



AND



## **RESPONSE TO**

**To the STATE OF MONTANA'S**

**DECEMBER 20, 2013 REQUEST FOR INFORMATION**

**ENTERPRISE CONTENT MANAGEMENT SYSTEM**

Submitted electronically to:

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State Information Technology Services Division  
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Chaves Consulting, Inc. (CCI) and its Cloud Records Management Solution (CRMS®) Partner Arikkan, Inc. (Arikkan) are pleased to submit this response to the State of Montana's Request for Information (RFI) for an Enterprise Content Management System (ECMS). CCI/Arikkan would be honored to assist Montana Department of Administration – State Information Technology Services Division to maintain the institutional memory of Montana Government, and carry out the State's intent articulated in the RFI.

## Company Qualifications

Chaves Consulting, Inc. (CCI) is an enterprise software development and technology solutions provider delivering *Beyond The Call!*® customer service and support to government customers since 1984. ***Technology is our business but People are our passion.***

What makes CCI unique:

- **Experienced:** 30+ year proven track record of exceptional reliability in designing software and support solutions across state and local government agencies.
- **Innovative:** Sometimes what is most apparent is not best. We look for ways to use the abundant availability of hardware and software options to find the best solution for our clients.
- **Flexible:** We are big enough to get the job done, yet small enough to flex when it is most important. We can change a plan without the multiple layers and barriers inherent in very large corporations.
- **Core Driven:** Our clients are at the core of our business. Your needs and requirements drive our process.
- **Effective Partnerships:** Carefully chosen partnerships based on technical expertise and ethical character that allows for comprehensive solutions from people you can trust.
- **Dedication:** *Beyond The Call!*® Not just our slogan – it is our way of doing business. Your success is our success.



## Our Mission

To do whatever it takes to deliver exceptional customer service care that goes beyond our customers' expectations. To create a work place that we each look forward to coming to every day. CCI attracts employees who are passionate about customer service and teamwork. CCI shares its prosperity with its employees and the community.

## Company Background

Proposed Prime Contractor Chaves Consulting, Inc. (CCI) has been a software development and enterprise technology solutions provider for nearly thirty years. The Executive Leadership Teams at CCI and Arikkan, Inc, CCI's Records Management Solutions Subcontractor, have partnered together for more than ten (10) years to provide state-of-the-art, reliable, cost-effective and innovative Enterprise Information Technology solutions and services. Together, CCI and Arikkan's "Beyond the Call"® customer service and support has earned long-term contractual relationships with state and local government agencies across the country. CCI and Arikkan have partnered with Hewlett Packard for more than nine (9+) years, including the partnership to develop and implement the successful Oregon Records Management Solution (ORMS) project.

CCI and Arikkan are known for building and enhancing public-private partnerships to achieve state and local government agencies' goals by building positive working relationships with Secretary of State Offices and other government agencies around the nation. Our Subject Matter and Technology Services Experts have a reputation for developing and implementing enterprise level software applications on time and on (or under) budget. ***In 30+ years of business, CCI/Arikkan has never failed to fulfill the requirements of a contract.***

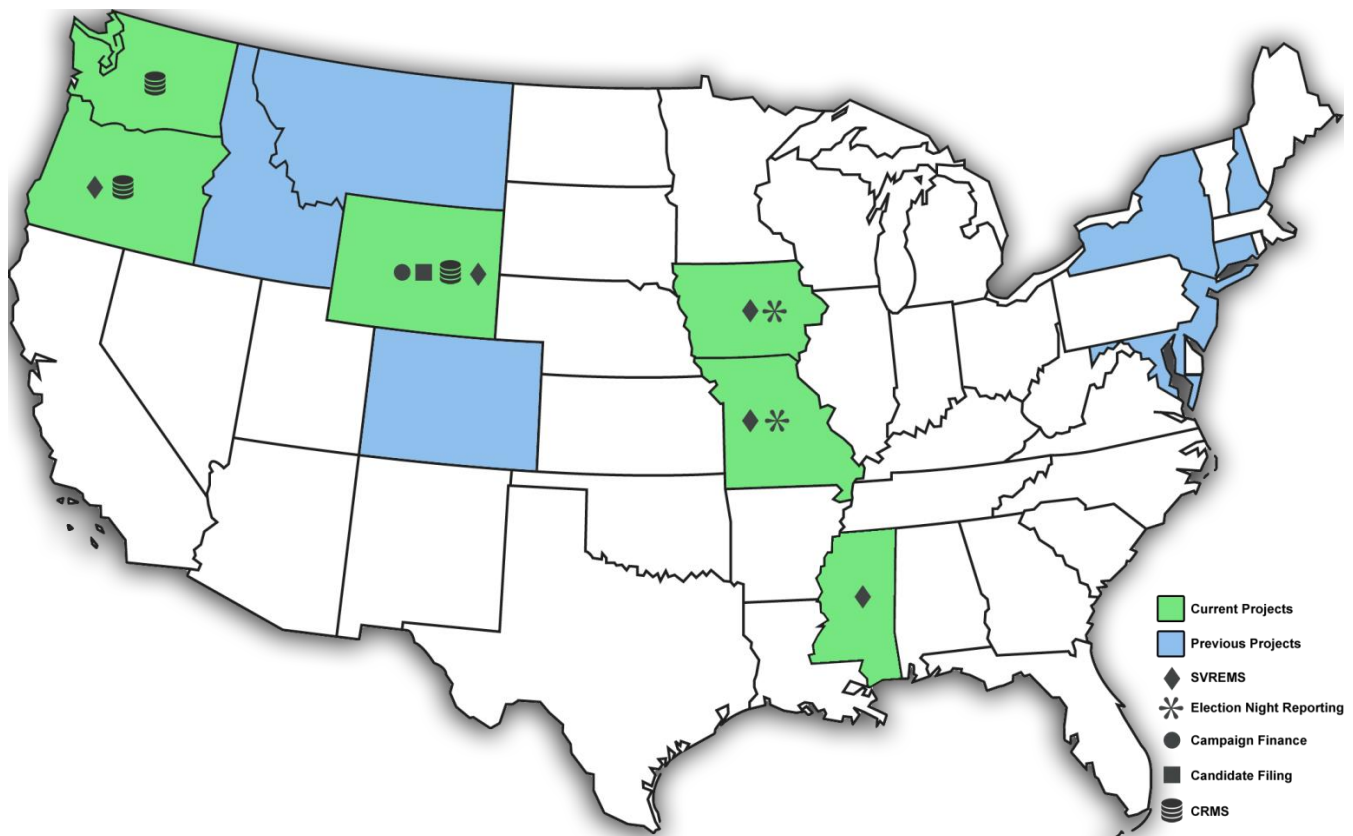
Together, CCI and Arikkan have designed, implemented, and provided cost-effective application, infrastructure, and ongoing support solutions for cities, counties and states across the country. CCI and Arikkan have provided business critical solutions such as providing Records Management Solutions and support for State Archives, Secretary of State's offices, and cities and counties; Elections software and support for eight (8) states and their counties; software, infrastructure and support for Motor Vehicles Divisions, Justice and Municipal Courts, Tax and Assessment, City and County Administrative Operations, and Public Utilities.

Currently, CCI/Arikkan brings significant, highly relevant experience supporting State and local government agencies to develop, integrate and support enterprise-level, complex technology solutions for Records Management and other solutions including (but not limited to):

- State of Oregon:
  - Secretary of State's office for:
    - ♦ Oregon Records Management Solution (ORMS) in partnership with the SOS office to implement Electronic Records Management in every Oregon city, county and State agency, housing the data in Synergy Data Center
    - ♦ Elections
    - ♦ Synergy Data Center is the site that houses all SOS redundant mission critical applications
  - 36 County Clerks' offices
  - Department of Human Services and Oregon Health Authority (OHA)
  - More than 90% of the Oregon Justice Courts and Oregon Municipal Courts
  - Public Utility Commission
  - Cities, Counties, water and special districts throughout Oregon
  - School Districts

- State of Missouri:
  - SOS office for Elections, hardware infrastructure support, and software support
  - 116 County Clerks' Offices
- State of Wyoming:
  - Department of State Parks and Cultural Resources and State Archives for Piloting Wyoming Records Management Solution
  - SOS office for Elections, hardware and infrastructure support, and software support
  - CCI/Arikkan's Synergy Data Center is the site that houses Wyoming's Primary data and software for all divisions of the SOS office
  - 23 County Clerks' offices
- State of Washington:
  - Department of Early Learning (WA DEL)
  - Implementation of CCI/Arikkan's Enterprise Records Management Solution

This is a map of our current and completed projects across the nation.



**FIGURE 1 – Map of Current/Completed Projects**

CCI/Arikkan has worked almost exclusively with State and local government agencies. CCI/Arikkan has earned a reputation for offering high quality service at predictable costs that satisfy government agency budgets. CCI/Arikkan has proven to consistently partner with the agencies to design IT

solutions that fit within constrained budgets and meet or exceed their needs. CCI/Arikkan has the stability, experience, talent, positive attitude, teamwork and successful track record necessary to implement a Montana ECMS solution that goes Beyond the Call®.

CCI/Arikkan uses state-of-the-art technology and leverages robust information security processes to serve its customers. CCI/Arikkan delivers exceptional consulting and services in person on the customer's premises, or through on-line conferencing using tools such as GoToMeeting, Adobe Room and WebEx. The customer's needs and preferences dictate the approach.

***CCI/Arikkan has never lost a customer due to dissatisfaction.*** We stay in touch with our customers' needs by conducting periodic User Group Meetings in which we continue to confirm the priorities of the customers, and then update the software on an ongoing basis to comply with customer priorities, needs and requirements.

CCI is an Oregon corporation, in good standing with the Oregon Corporation Division, Business Registry Number 603263-87. CCI is a privately held company, co-owned by CEO Kathleen Chaves and President Richard Chaves. Founded in 1984, it was incorporated most recently in 1997 under name of Chaves Consulting, Inc. CCI is certified with the State of Oregon as a Women-Owned Small Business (WOSB), certification number 4397. CCI is also certified as a WOSB with the US Small Business Administration.

#### **CCI's Owners:**

**Founder/President, Richard Chaves:** Richard Chaves began his career in government. He first served as Baker County's Accountant, then IT Director and completed as Baker County Administrative Officer. During those years, he gained a great deal of understanding of the business processes and needs of government agencies. He wrote the software packages that operated Eastern Oregon cities and counties since 1984 and is still used today!



Richard Chaves brings extensive experience with financial management starting with his positions in Baker County government and continuing through the years of operating CCI. In 1984, Richard Chaves worked with teams of city and county customers to understand their needs, then design and implement the first computer software they'd ever used. It was a financial software suite for city and county government agencies that still operates those agencies today. Working with his Justice and Municipal Court customers to understand their needs, he wrote the software that operates in more than 90% of Oregon Justice Courts, and Oregon Municipal Courts. For the past ten years, CCI has supported the Tax and Assessment software being used in Eastern Oregon cities and counties. Richard Chaves has also been requested to represent local government agencies during their external audits.

Richard has expanded his business through developing subcontracting relationships with other corporations that have the same ethical commitment to our customers. These relationships serve as back-ups and partners in state and local government contracts. These relationships have served to grow the breadth and depth with which CCI can serve their customers.



**CEO and Co-owner Kathleen Chaves** joined CCI in 1993. Before joining CCI, Kathleen spent ten years with IBM. Among her many positions with IBM, Kathleen successfully managed a twenty-million dollar territory in Kern County, California with fifty employees and hundreds of customers. She won multiple awards for bringing customers back to IBM through training her employees to demonstrate their commitment to their customers by doing whatever it took to meet or exceed their expectations. She finished her career with IBM as a Business Process Re-engineering Consultant, working with IBM customers to train their employees to work together to identify what processes were “broken”, the alternatives to fix them, the pros and cons of each alternative, then implementing the best one. In CCI, Kathleen focuses her skills on developing customer relationships and marketing.



### CCI's Office Location:

CCI's is headquartered in the historically renovated 1910 Federal Post Office building located at 1650 Dewey Avenue, Baker City, OR 97814. The Synergy Data Center and Services operation is located across the street in the nine-story Baker Tower.

### CCI's Company Size:

CCI has 25 full time employees located in CCI's Baker City headquarters, and utilizes services and support through three ongoing subcontractor relationships with two corporations located in Washington and one in Idaho. Between all of us, we have access to *hundreds of skilled contract employees* and/or subcontractors available throughout the country at a moment's notice. CCI prides itself on the creation and development of highly skilled public-private partnerships and private partnerships as a way of continuously invigorating the company and its solution offerings.

### CCI's Fiscal Stability:

The best evidence of CCI's fiscal stability and ability to remain financially solvent through the proposed contract period is its almost 30 year history of successful, fiscally sound business practices. CCI's business practices include providing customer service that exceeds expectations and contract rates that are highly competitive. The majority of CCI's clients are government agencies of all sizes that have tight budgets. CCI's relationships with Oregon government agencies demonstrate that CCI's approach has been stable and fiscally sound for all involved. The State contracts that CCI has acquired have been extended due to the same consistency of service and predictable rates. CCI's financials are reviewed annually by an Oregon firm of licensed CPAs, Guyer and Associates. CCI's financials show positive cash flow, careful strategic planning and disciplined financial management.



## CRMS® Joint Venture Partner Arikkan's Company History

Founded in 2010, and headquartered in the Pacific Northwest, Arikkan serves State and Local government clients in the US. Arikkan has a deep knowledge of successful business practices and the technology that supports those practices. We believe it is imperative that we develop a thorough understanding of our clients' needs, constraints, team culture and dynamics in order to enable us to deliver the best solutions.

Arikkan is a leading technology integrator known for delivering on-time, complex, innovative Enterprise Solutions for State and Local governments throughout the United States. In fact, the State and Local Government market is our business, as shown in Figure 1 above. Our single-minded focus on this market allows us to tailor our services and our solutions to meet our Clients needs. Arikkan has built a reputation for delivering exceptional client service and product excellence that exceeds client expectations.

### The Arikkan Culture

Arikkan's culture is nurtured through its founding principles:

- Provide an exceptional work environment for employees in technology space
- Foster innovative and efficient solutions for our clients, whom we consider our business partners, and
- Bring a positive impact to the community through exhibiting our core values of integrity and generosity.



Arikkan employees enjoy a very open work environment where they are coached and mentored to be innovative and create a positive impact to our work place, clients and community. We consider our clients our business partners. We constantly strive to provide solutions and services that ensure our clients' success, provide the highest quality 'white-glove' service from the client's perspective, and consistently maintain our client's satisfaction as our highest priority.

Arikkan carefully hand-picks technical experts. We employee people who are highly talented who understand and embrace our positive business culture. Arikkan employs 8 full-time and 4 part-time employees, with access to unlimited contracted employees who could be ready with a moment's notice.



**Arikkan Founder/President Venkat Subramanian:** Venkat founded Arikkan in February, 2010 with a vision of making Arikkan a premier provider of technology products and services. Venkat excels as an Enterprise Technology Solution Architect who delivers complex projects on-time and under budget. He partners with clients to understand their business needs and constraints in order to deliver solutions that exceed their expectations. Arikkan, Inc. partnered with Chaves Consulting, Inc. to build the Synergy Data Center (Synergy DCS). Synergy DCS hosts



the nation's first private government cloud custom designed for the Oregon Records Management Solution (ORMS). In less than 3 years Arikkan, Inc. has grown nationwide and earned the respect and confidence of its clients throughout the US.

Prior to starting Arikkan, Venkat was the Product Manager for the Elections Division of HP Enterprise Services, formerly known as Saber. In this role, Venkat and his highly talented team successfully delivered Statewide Voter Registration and Election Management solutions for 8 states in the US.

With Chief Technology Officer Sri Ramachandran, Venkat and the Arikkan Technology Integration Team pioneered and have continued to successfully implement and support the first of its kind cloud-based Oregon Records Management Solution, the State of Oregon Archives' Divisions ground-breaking state-wide electronic records management solution described above. His team also has developed and implemented custom interfaces for proprietary and third party business software applications and HP RM to streamline business processes, save State employees' time and increase user acceptance.

Another area of enterprise solution expertise is Centralized Elections software and infrastructure (data center) development, implementation, support and enhancements. Arikkan's Elections Practice Team has expert level knowledge in the Help America Vote Act (HAVA), State Elections Laws, State and County Election business processes and practices, voting and tabulation machines, various forms of ballots and voting methods, and reporting and certification of election results. Arikkan's core team has experience in successfully implementing HAVA-complaint Statewide Voter Registration and Election Management Systems for 10 states in the US including the State of Montana.

In a letter of recommendation, Deputy Secretary of State, Patricia O'Brien Arp, PhD said, "Venkat was the Project Manager for the implementation of a statewide voter registration system. We were pleased with the success of that project and attributed much of that success to Mr. Subramanian." She added, "He has a great technological mind. He seems to understand the full scope of technological issues from the high level conceptual and design aspects to the very detail oriented aspects of programming," and, "Venkat is a great problem solver and is incredibly bright, being able to grasp complex issues quickly."

In another letter of recommendation, State of Iowa's former Deputy Secretary of State, and Linn County Auditor, Linda Langenberg said, "Iowa is currently known throughout the elections community as having one of the most stable and complete voter registration systems in the nation. We believe that having Venkat Subramanian as our Project Manager had much to do with our success."

Venkat has proven to be a very effective Project Manager with exceptional IT, business analysis, delivery and implementation skills. He has more than eight (8+) years of experience in managing multi-million dollar projects for various state government agencies, managing product delivery portfolios, and developing and managing delivery teams across various functional areas. His state government clients value his demonstrated commitment to provide the best customer service possible, as evidenced by his track record of 100% on-time and under budget delivery of complex technology solution projects.

**Arikkan's Chief Technology Officer Sri Ramachandran:** Sri Ramachandran has over twenty years' experience in information systems, system architecture, data center and infrastructure design and deployment. He is well known throughout the US for launching and maintaining highly secure infrastructure for mission-critical business enterprises. Sri has successfully designed and deployed numerous high fault-tolerant Maximum Availability Architectures (MAA) for public and private enterprises in the U.S. He has also played a key role in the design and delivery of infrastructure for numerous State and Local Government agencies in Records Management, Elections, Motor Vehicles and Child Support.



Currently, he manages CRMS infrastructure for the States of Oregon, Washington (pilot) and State of Wyoming's Records Management Application (RMA) project. He also manages ELECTUS infrastructure for the States of Missouri (MCVR) and Wyoming (WyoReg). Sri designed, implemented and supported the Centralized Voting Registration Systems infrastructure for the States of Oregon, Mississippi, Iowa, Maryland, Colorado, New Jersey, and Idaho. At CCI/Arikkan he manages technology investments and leads Infrastructure Management and Hosting Services.

He brings expertise in Oracle, SQL Server database administration, Citrix administration, VMware virtualization, Microsoft Windows Servers and Active Directory Servers (ADS), network design, network security, data warehousing implementations and providing high quality and cost effective high availability, disaster recovery, database, network and security technology solutions.

Prior to joining CCI/Arikkan, Sri was the National IT Director for HP Enterprise Services, formerly known as Saber. In this role, he was responsible for managing all of Saber's technology investments, and managing State and local government clients' infrastructure for more than 15 states in the U.S.

### Partner and application owner Hewlett-Packard (HP)



HP is a technology solutions provider to consumers, businesses and institutions globally. The company's offerings span information technology (IT) infrastructure, personal computing and access devices, software, global services, and imaging and printing. The basic business purpose of HP is to invent, engineer and deliver technology solutions that drive business value, create social value and improve the lives of customers.

HP Software's award-winning software product, HP TRIM®, now HP RM, provides a stable, well-supported ERMS to manage and secure the State of Montana's information assets. For over 25 years, HP TRIM® has focused on integrating rules of business practicum with the discipline and science of content management. It is a proven platform that incorporates industry best practices such as ISO 15489, DoD 5015.2 Version 3, UK PRO's and Australia VERS.

## Similar Projects

### Oregon Records Management System (ORMS)

The most relevant prior project experience and expertise transferable to the Montana ECMS project is the CCI/Arikkan/HP ***nationally recognized ORMS Project***.

After years of research and working experience, the Oregon State Archives Division specified the HP TRIM® records management software in the Request for Proposal which CCI won in late 2010. By 2013, CCI/Arikkan and HP had earned national recognition in the Wall Street Journal's Market Watch, Government Computer News and other media for having developed and implemented the first successfully operating SaaS Records Management Application (RMA) configuration in the nation.

The same project management and technology development and integration skills, innovation and best practices that have made the ORMS successful, would make Montana ECMS successful. CCI/Arikkan would assist the State of Montana to Pilot and “go live” with its own customized CRMS solution. CCI/Arikkan and software owner HP would facilitate State ownership of cost-effective HP RM licenses, consulting and services to architect and deploy the optimal infrastructure in Montana as specified. CCI/Arikkan would also provide HP RM records management implementation, configuration and training services.

CCI/Arikkan offers scalable, flexible, affordable and equitable solutions to agencies that vary significantly in number of users, hardware and software technical skills, and budgets. CCI/Arikkan would support the State to pilot an ECMS solution and grow it over time to large and small agencies throughout Montana.

In recent years, government agencies have spent millions of dollars on litigation costs and diverted costly staff resources to respond to e-discovery or public records requests. That reality created the need for an affordable enterprise class document and records management solution that was secure, configurable, user-friendly, and scalable for State and local government agencies.



**Source: Wall Street Journal  
MarketWatch**

press release : Jan. 8, 2013, 4:00 a.m. EST

**State of Oregon Embraces HP TRIM for  
Statewide Cloud-based Records Management  
Program**

**Technology from Autonomy, an HP Company, enables  
transparent, efficient records management with lowered risk  
and costs**



**PR Newswire**  
United Business Media

Understanding that need, CCI/Arikkan partnered with the Oregon State Archivist and HP to design, develop and deploy ORMS. The ORMS pilot program originated in the office of the Oregon Secretary of State, Archives Division, which used HP TRIM® to manage its digital and physical records. Thereafter, Oregon City, county and other state agencies, large and small, volunteered to participate in the ORMS Pilot Phase which began in

early 2011. During the Pilot Phase, 10 city, county and State agencies used ORMS with HP TRIM® to manage more than 1 million documents.

ORMS provides agencies the ability to manage records in an efficient, uniform manner and save money on storage, risk and litigation costs. ORMS allows agencies to comply with Oregon Public Records Law for scheduled notification of automated retention and destruction of records. Because HP RM integrates with various industry-leading software applications, the process of converting and migrating legacy records is straightforward. Additionally, the ORMS Pilot Cities have initiated a RM User Support Group that meets periodically to problem-solve questions and exchange tips.

Before using HP TRIM®, employees had to go through back-up tapes, emails and file servers to satisfy public records requests. With HP TRIM®, requests are processed exponentially faster. For example, a request for the 80,000 emails generated by the Secretary of State since taking office took 90 seconds to fulfill, instead of the days it would have taken before the implementation of ORMS. ORMS pilot agencies are experiencing similar benefits, for example requests for public documents that used to take a week to process now take 30 seconds. Another state-wide agency began using ORMS to quickly search more than 1.5 TB of data in response to an information request. "The feedback we've gotten from users so far has been very positive," said Mary Beth Herkert, Oregon State Archivist.



***"Most state archivists don't manage information until after documents have been created and used, but that process is cumbersome and does not work very well," Mary Beth Herkert added. "HP TRIM lets us pivot to a front-end management solution where the records are managed as they are created."***

An ORMS city user said:

***"TRIM is awesome! I just finished a couple of public records requests – one spanning 15 years of City Council records and the other 9 years – and the content search ability is amazing. Thanks!" Pat DuVal, City Recorder, City of Milwaukie***

Oregon's Secretary of State Kate Brown said:

***"We realized that the benefits we experienced at the Secretary of State's office could be broadened to encompass every city, county and state agency in Oregon, and since agencies access ORMS on a per-user basis, the smallest agencies can have the same transformative public records management as organizations with thousands of employees and larger budgets. ORMS with HP TRIM truly levels the playing field when it comes to managing public records. "***



Going forward, the ORMS system will allow citizens to request public records through the WebDrawer feature of HP TRIM; it will eliminate the step of having to take search requests to an agency employee who must type in the request and wait for the result. The State Records Management Manager and ORMS Implementation Team have created and are piloting a state-wide ORMS WebDrawer for ORMS

agencies. The Oregon Archives Division specified that ORMS has the capacity to grow up to a minimum of 20,000 users with a potential of up to 100,000 users when fully implemented over the coming years.

The Oregon State Archives has made ORMS presentations at numerous conferences, such as: National Association of State Chief Information Officers (NASCIO) in Lexington, KY; National Archives and Records Administrators (NAGARA) Conference in Nashville, TN; the annual NAGARA conference in Santa Fe, HP IM Summit in Leesburg, VA and HP RM User Summit in Portland. ORMS' cloud solution also was cited by NASCIO's Executive Director at a 2012 Best Practices Exchange in Annapolis, MD, and the Oregon/Washington proof of concept grant was featured in the National Historical Publications and Records Commission (NHPRC) newsletter. Many States have requested and participated in Archives' on-line demos.

### ELECTUS Software

Another large scale project that received national exposure in which CCI and Arikkan's team members developed long-term positive working relationships with Secretary of State's Offices and other government agencies around the nation was through their successful development, deployment and ongoing support of ELECTUS Centralized Voter Registration and Elections Management solutions in eight (8) states including Montana and Oregon.

### MAJIC Software

CCI began as a software development corporation. As such, CCI is acutely aware of the need for quick turnaround time. They routinely design, customize and format applications to suit specific client needs and connectivity. CCI develops its implementation schedules based on client need assessments, and with client participation and approval.

For example, CCI's MAJIC Software solution supports 90% of Oregon Justice Courts and Oregon Municipal Courts. Software Modules include Accounts Receivable, Bail, Court Fees, Fines, Assessments and on-line electronic payment capabilities and Help Desk support. For more than 40 courts, data has been securely transferred and remotely hosted on CCI's servers since 1998 as most offices couldn't afford their own IBM AS/400 system nor the IT specialists to manage technology needs. MAJIC includes electronic interfaces with the Oregon Department of Transportation (ODOT), Oregon Department of Revenue, local law enforcement agencies and collection agencies. It also integrates with E-ticketing.

### Oregon Health Authority Project

Another CCI contract is for the State of Oregon's Department of Human Services' (DHS) Oregon Health Plan (OHP). In 2006, CCI was awarded the Oregon Health Plan (OHP) Premium Billing contract including accounts receivable and customer contact center (Support Desk) services. CCI voluntarily developed a custom Accounts Receivable solution for DHS's OHP program within thirty days, at no charge to DHS. CCI has been an ongoing partner with DHS, now the Oregon Health Authority (OHA), to enhance the Accounts Receivable software to meet requirements of HP's Medicaid Management Information System (MMIS) solution, at no additional charge to the State.



As part of implementing the OHP solution, CCI migrated eleven years of Medicaid billing data from the prior vendor which involved identifying, analyzing and resolving many data integrity issues. CCI's OHP Premium Billing Solution balanced Payment Collections and Account Adjustments with more than \$1.8 million in receivables involving more than 33,000 monthly billings.

Based on CCI's performance and partnership on the OHP billing contract, the DHS Contract Administrator gave CCI an "A+" rating for services, and DHS awarded CCI a Certificate of Appreciation for Exemplary Customer Service.

These contracted services are transitioning due to State system changes tied to national health reform. CCI has been awarded contracts to provide support services to the Oregon Health Authority and Cover Oregon. Currently CCI's staff are verifying insurance and Medicaid applicants' third party liability (TPL) coverage and returning the data via secure electronic file transfer.

### Synergy Data Center

CCI and Arikkan worked together to design, develop and support the state-of-the-art Synergy Data Center and Services, LLC (Synergy). The Synergy owners' partnership of CCI, Arikkan, Inc, and SACE, Inc. opened the multi-million dollar Synergy Data Center (Synergy) in August of 2010. Oregon Secretary of State Kate Brown performed the ribbon-cutting ceremony for the data center and celebration of the ORMS Pilot. CCI is the Managing General Partner of Synergy, which is located across the street from CCI's administrative offices. ([www.synergycs.com](http://www.synergycs.com))



Together, CCI, Arikkan and Synergy are providing primary data storage and managed hosting services to:

1. State of Wyoming
2. Oregon Secretary of State's Office
  - a. ORMS cloud-based records management solution
  - b. Redundant data storage and hosting services solution for the Oregon Secretary of State's Office's mission critical data
3. Oregon Secretary of State Elections Division Redundant site for Oregon Central Voter Registration System
4. State of Missouri's Development and Quality Assurance (QA) environment

### **Customer References**

**(1) Current Client:** Oregon Secretary of State's Office, Archives Division



## Services since 2010:

- Oregon Records Management Solution (ORMS) statewide development, implementation, hosting and support; Partnering with Oregon Archives on the State of Washington CRMS® Pilot and demos for multiple States
- Providing HP TRIM ECMS Software and Support for ORMS

Contact for Reference: Mary Beth Herkert, State Archivist

E-mail: [mary.e.herkert@state.or.us](mailto:mary.e.herkert@state.or.us)

Telephone Number: (503) 378-5196

## CCI/Arikkan Services since 2004:

- Oregon Centralized Voter Registration Solution Development, Original application development and infrastructure support
- Redundant Data Center Hosting for OR SOS and OCVR Site 3

Contact for Reference: Julie Pearson-Ruthven, Oregon SOS CIO

E-mail: [julie.pearson@state.or.us](mailto:julie.pearson@state.or.us)

Telephone Number: (503) 986-0521

**(2) Current CCI/Arikkan Client:** Wyoming Secretary of State's Office for Wyoming Elections

Elections Services since 2011, providing Application Support, Infrastructure Maintenance and Support, and Infrastructure Hosting for:

- WyoReg Centralized Voter Registration Application and Infrastructure Management and Support
- Data Center Service, Primary Data Hosting
- Campaign Finance Information System

Contact for Reference: Andrea T. Byrne, Technology Director

Telephone Number: 307-777-5953

Email: [andrea.byrne@wyo.gov](mailto:andrea.byrne@wyo.gov)

CCI/Arikkan also has begun implementing a pilot of the State of Wyoming's Records Management Solution for the Department of State Parks and Cultural Resources, including the State Archives and Record Center.

**(3) Current CCI Client:** DHS/OHA, Division of Medical Assistance Payments

Services Since: 2007. Transitioning to other contracted services for OHA.

- Oregon Medicaid State-wide Premium Billing and Customer Contact Center

- Interfaces with legacy State Client Maintenance System and HP's MMIS...etc.

Contact for Reference:

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Telephone Number:

503-947-5514

## Solution Overview

The proposed CCI/Arikkan CRMS solution is: A *proven* product built upon a validated, secure, robust, and resilient technology platform; and implemented by an extremely experienced and successful team.

**Summary of key benefits that differentiate HP RMA as the best-of-breed CRMS for State of Montana's project:**

- ***Lower Total Cost of Ownership (TCO)*** - HP RM is a true, commercial-off-the-shelf (COTS) software solution designed to implement records and information management in support of organizational compliance. All the business rules required to manage the State of Montana's ECMS in a compliant manner are incorporated into the HP platform as standard "out of the box" functionality, merely requiring configuration, not expensive customization, to meet the State's unique needs. The ability to configure solutions without significant customization reduces costs across the system lifecycle, from initial implementation and deployment to ongoing maintenance and future upgrades. In addition, HP provides volume discount per-user license costs; i.e. the more licenses purchased, the less cost per user, as was demonstrated in the Oregon ORMS Project.
- ***Improved Accuracy for Making Business Decisions*** - HP RM is a flexible solution, designed to meet the diverse needs of organizations and end users. The combined records and information management structure of HP RM enables more than just a retention schedule. The State of Montana would have the complete business context for each record, including creation date, activity audit log, and people associated with it. This capability improves the accuracy and security of business decisions across organizational business units. Additionally, the software is tightly integrated with end user authoring tools and email systems, allowing users to continue to work with familiar interfaces and applications, such as SharePoint and the Microsoft Office suite.
- ***Risk Mitigation*** - HP RM is deployed at thousands of customer sites around the world. HP enjoys double the industry customer retention rate and a 100 percent successful implementation rate over the last five years. This would support the State of Montana to minimize risk and ensure a successful deployment.

The success of the statewide implementation of any comprehensive application depends on the following elements:

- **People**
- **Project Approach**
- **Product**
- **Platform**



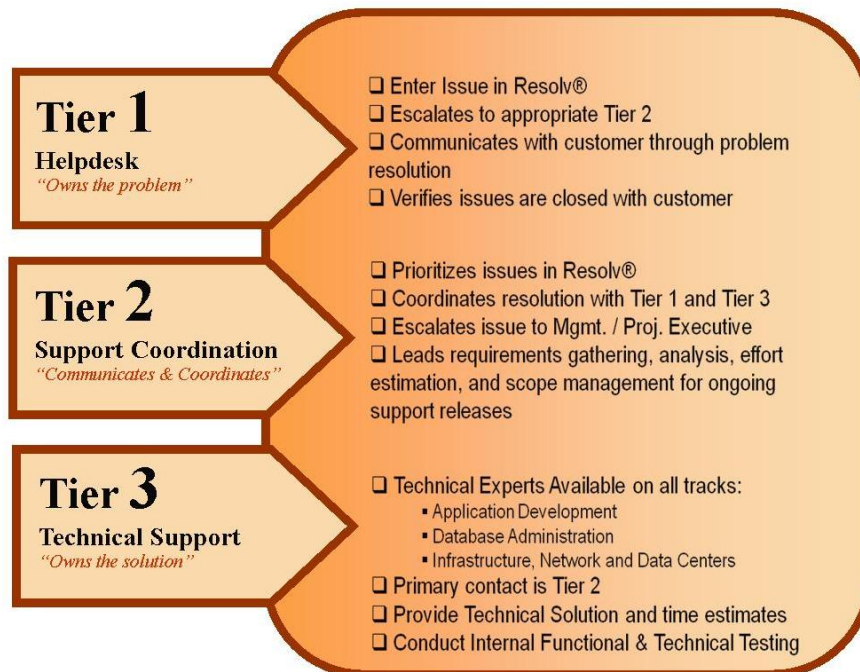
### People – The Advantages of Our Team

Any proposed solution is only as good as the people who implement it. Our team has already designed, deployed and implemented a successful solution. CCI/Arikkan is the most experienced and innovative team available. Our established working relationship has garnered successful project after successful project. We know each other and we know the individual strengths of our chosen strategic partners. Because we choose to work with the leading firms, we can offer Montana the best in the business.

The advantages of choosing CCI's proposed CRMS that will be developed and implemented through the CCI/Arikkan/HP team would include:

- The CCI/Arikkan/HP **demonstrated** effective **teamwork** and CRMS solution that has already been proven successful through previous implementations such as:
  - a. In all of the Oregon Secretary of State Offices, and
  - b. Throughout the State of Oregon, in agencies large and small, through the Oregon Records Management Solution Project proposed by CCI, then developed and implemented by the teamwork of CCI, Arikkan, and Hewlett Packard working together.
  - c. The State of Washington is also piloting the ORMS solution, in partnership with the State of Oregon Archives, CCI/Arikkan and funded by a two year, National Historic Publications and Records Commission (NHPRC) grant.
  - d. The State of Wyoming is also implementing a Cloud Based Records Management Solution (CRMS®), after awarding a contract to CCI/Arikkan through a competitive bid process.
- The CCI/Arikkan CRMS Team provides:
  - a. Highly experienced Subject Matter Experts who leverage years of national experience configuring HP RM to align with government agencies' unique security requirements, records retention schedules, file structures, work flow and business processes,
  - b. Ongoing software maintenance and upgrades
  - c. Fully trained, experienced and innovative Project Management and Software Application Support Teams,

- d. The expertise of the Technical Designers, Implementers, and Support Desk Teams who developed and deployed the nation's first, proven successful, Private Government Cloud infrastructure for Records Management and will be providing:
- ♦ Support for RMA-related hardware (infrastructure) facilities,
  - ♦ Implementation expertise,
  - ♦ Knowledge transfer to Montana's designated Infrastructure Support Desk,
- e. A centralized CCI Montana Support Desk who would be designated to exclusively support Montana pilot and "live" agencies with ongoing:
- ♦ Education and training for Montana clients through the use of Remote Access Sessions that enable the CCI Montana Support Desk Team to work with Montana clients on their desktop in real time.
  - ♦ Single Point of contact to: Answer questions and resolve issues immediately, or do the research to resolve the question then get back to the Montana customers with the solution (CCI and Arikkan are "one call" operations; i.e. Montana would make one call to CCI's Montana Support Desk who then would make all the other calls required to find the answer for the client, then get back to the client with the answer). Our tiered approach to Helpdesk Support is based on more than 20 years of experience working with Government agencies that have provided feedback as to what works and what doesn't. A single point of contact with ownership of the issue provides the most efficient and effective means of support for our clients. Our tiered approach is outlined below:



**FIGURE 2: Helpdesk Tiered Response Plan**

**f. Provide seamless integration by**

- Enhancing Montana's experience with seamless integration with Microsoft applications,
- Enabling Montana agencies' Line-of-Business Applications with the software development kit and Web services,
- Applying lifetime policies seamlessly and managing all SharePoint content with HP RM for SharePoint,
- Working with the proven highly successful team of CCI, Arikkan, and HP who have proven to implement records management solutions across client enterprises with customer service and support delivery that goes "Beyond the Call®"
- Providing additional Records Management Services available through CCI, Arikkan, and its proven partners. Additional Services could include:
  - Customized Integration with business applications
  - Additional TRIM®/RM Modules
  - Imaging, Legacy Data Migration and Conversion, which can address all migration needs expressed in Attachment A of the RFI.

**g. Provide Professional Services for Content Management**

CCI-Arikkan and its partners' Professional Services would help the State of Montana enhance business process efficiency and innovation by improving its ability to access and control unstructured data assets. Consulting and solution design and implementation services are designed to improve the capture, management, retention and delivery of content to the right place at the right time via the right method, thus reducing costs and increasing productivity.

- Document Automation: Improve customer satisfaction and productivity by automating manual and paper-based processes
- Records Management: Reduce risk and increase productivity with services that enable you to analyze, create, design, deploy and maintain your records management solutions
- Document Management: Access documents faster and easier through services that allow you to analyze, design, deploy and maintain documents across the enterprise

**h. Provide Professional Services for Information Management Strategy and Planning**

Professional Services would enable the State of Montana to save time, reduce costs and lower risks by using information more effectively. With a deep understanding of industry standards, best practices and those of cross-industry groups our Professional Services experts help organizations define an information management strategy that aligns business and technology goals.

Services include:

- **Content Management Planning:** Understand the State's business requirements for content and map them to a plan for an iterative, cost-effective program to capture, manage, retain, secure and deliver all types of content to the right place at the right time via the right technology, including computers, printers, handheld devices and application output.
- **E-Discovery, Public Records and Records Management Advisory Services:** Meet compliance requirements while managing risk by automating the storing and indexing of information. These services help organizations manage, archive, search and retrieve just the information needed to satisfy e-discovery, public records requests, agency/corporate governance, legal and compliance demands, enabling the State of Montana's workforce to remain focused on running the business.

### **Project Approach - The Advantages of the Shared Services Model**

CCI/Arikkan propose that the State of Montana consider a proven, cost-effective shared services model successfully piloted in the State of Oregon and now being used by a growing number of agencies in production. This model delivers innovation that would connect Montana citizens to their government and deliver services effectively, efficiently, and with greater transparency. The model varies according to the requirements and priorities of each State.

CCI/Arikkan recommends implementation of a CRMS solution through working with state appointed *pilot* agencies, large and small, before going "live" throughout the State. This was the CCI/Arikkan/State Archives/HP approach that was so successful in Oregon and prompted national recognition for innovation. CCI/Arikkan recommends that Montana use the pilot approach to ensure the most effective process for assessing the State's requirements, configuring, deploying, supporting, and providing learning and knowledge transfer within the State's initial group of users. As the pilot agencies become successful and begin to experience savings in time, money and effort, they will serve as powerful change agents and successful role models for the rest of the State.

The ORMS model was designed to fulfill agencies' records management hardware, software, training and support needs without the requirement of an up-front investment. CCI/Arikkan provide hardware, software and 24/7 helpdesk; and the State Archives Division provides implementation and training. ORMS offers a low monthly per-user fee, based on the total number of users, enabling every agency—large or small—to participate with direct agency billing. More than 700 employees, representing 15 agencies, piloted ORMS while managing more than one million documents.

While stand-alone HP TRIM has proven effective for almost 30 years, no one had solved the technological barriers to permit a secure, private government, cloud-based shared services model. Private Sector Technology Integration Teams at Arikkan and CCI developed the first shared services model of its kind; nationally, meeting State success criteria. If this RFI results in a published RFP, CCI/Arikkan would propose to implement a shared services SaaS model utilizing HP's Records Management Application (RMA) software. CCI/Arikkan would manage the database setup and related



services necessary to integrate ECMS software into the State's chosen infrastructure. CCI/Arikkan would proposed a full service customizable solution which would include all the necessary components for a successful launch into a production environment *and* offer the State some options that would tailor the shared services model to fit the specific needs of the State.

**CRMS® Advantages:**

- A full service team of experts that function as private-public partners: CCI/Arikkan and HP partner with each State's (public) Archives Records Management organization to ensure legally compliant records rules and configuration.
- Working with the State's Records Managers, the CRMS team develops agencies' file structures, classifications and retention schedules in HP RM and sets timelines and milestones to reach full CRMS implementation.
- Shifts agencies' investment from capital to operational expenses.
- Reduces demands on government IT personnel and eliminates need for additional staffing.
- Ability to move files from disparate storage approaches including software programs, microfilm/microfiche and paper into a private government cloud-based shared solution.
- Most cost-effective records management solution available. The low monthly per-user cost includes:
  - Software and hardware including maintenance and upgrades, 24/7 helpdesk, ongoing training and data storage.
  - No upfront agency costs.
  - Costs for CRMS are lower initially and over time for participating agencies, as compared to purchasing and maintaining their own infrastructure, software and services.
  - Webinars, newsletters, conference calls and remote access sessions to work with agencies on their desktop.
  - Single point of contact answers agency questions and resolves issues.
  - Economic pricing model designed to lower cost as the number of users increases.
- Cloud-based solution reduces the IT footprint and cuts equipment, power and facilities expenses.
- HP TRIM/RM delivers comprehensive tools and interfaces:
- Maximum availability architecture is highly scalable, secure and available with no-single point of failure with trusted, industry-leading components.

- Secured connectivity between agencies and the data store/data center.
- Additional services are available through CCI and Arikkan, such as customized interfaces to business applications, data conversion and migration, imaging, redaction, management of multiple media, storage space, etc.

### **Product – The Advantages of HP RM Software**

Hewlett Packard has continuously enhanced HP RM (previously known as TRIM) to meet the evolving needs of its customers and to align with technology advancements.

CCI/Arikkan can suggest a number of flexible solution options based on the HP RM product line, and other appropriate tools as selected by the State of Montana to provide a complete integrated solution to meet Montana's needs.

HP RM Software delivers the most comprehensive tools and interfaces available. Features would facilitate Montana Archives' and agencies' ability to:

#### ***Advantages of CRMS HP RM Software:***

1. Increase compliance and prepare for e-discovery and public record requests by:
  - a. Applying compliance policy management across the enterprise,
  - b. Managing the complete information lifecycle of agency or corporate records,
  - c. Proving the authenticity of information with version control, access control, and audit trails,
  - d. Supporting long-term information access in appropriate formats,
  - e. Reducing risk by implementing global certification standards and best practices,
2. Supporting public records or discovery requests by easily finding, redacting, and rendering information for secure release.
  - a. Enhancing search speed and success through powerful search tools and extensive metadata,
  - b. Retrieving related information through rich relationship linking,
  - c. Enriching your users' experience with powerful text-based search capabilities and metadata,
  - d. Relating and grouping information in intuitive, usable categories with rich container (folder) constructs,
  - e. Recovering information within the context of your business processes.
3. File structure, classifications and retention schedules can be administered in HP RM.
4. Participating agencies in collaboration with the ECMS project team set timelines and milestones to reach full ECMS implementation.

5. Cost-effective records management solution based on low monthly per-user cost, which exponentially reduces the total cost of ownership of the solution. CRMS Solution includes:
  - a. Highly secure, reliable, available, and fault tolerant hosting Infrastructure
  - b. All hardware and software, its annual support renewals, and hardware and software refresh to current technology (which is typically every 3 - 5 years)
  - c. Shifts agencies' project budget from capital to operational expenses
  - d. Record Manager services to analyze participating agency records management needs and to customize HP RM to meet the needs
  - e. Power and End user training; and online web-based training modules for HP TRIM
  - f. 24x7x365 post implementation end user support desk
  - g. Access to RESOLV – Issue tracking system powered by Atlassian's JIRA
6. HP RM Software delivers comprehensive tools and interfaces:
  - a. Only application that is Department of Defense 5015.2 certified under *all* chapters to provide the highest level of information security
  - b. Out of the box E-Discovery solution for public document search
  - c. Scheduled and automated destruction of records reduces legal risk and liability
  - d. Ability to search documents / records through all metadata of the record, title word and document content
  - e. Integration with MS Office Suite, Outlook, Novell GroupWise and SharePoint Custom integration with home grown / other proprietary business applications.

**Software Modules:**

The following module descriptions are excerpted from the HPTRIMQuickSpec.pdf document attached as Exhibit 1. Additional, more detailed information is available in that document.

**Base License:** The base license includes access to the following features:

Record Management:

- Record Types
- Business classification
- Thesaurus
- Retention Schedules and Holds
- Features & Benefits
- XML Export
- Label printing and barcode processing for paper records
- Metadata and Record Statistics Reports
- Security Levels and Caveats

Document Management:

- Check-in/Check-out
- Version and Revision Control
- Actions and Procedures

- Action Statistics Reports
- Boolean Search Engine, including metadata and content, proximity searching and fuzzy searching
- HP RM Image low end scanning application

**Workflow**

The HP RM Workflow module is a comprehensive workflow engine that is embedded in the HP RM software records management system. HP RM Workflow lets you relate workflows to documents and records, so that the right people have immediate access to the documents they need when they need them. The workflow module includes, a graphical workflow editor, template based workflow creation, sequential and parallel routing, decision branching, escalation, activity suspension, authorization of complex processes.

**Rendering**

The HP RM Rendering module provides a fully automated process for storing both an original document and its renditions to a record. If you plan to maintain electronic records for a long period of time, you need to keep those records usable even if their original format becomes obsolete. HP RM Rendering can create long-term portable document format (PDF) and PDF/A renditions of your printable content as a server-side process and store them with their original records using HP RM support for multiple renditions. PDF/A is the preferred long term archival format for electronic documents as defined by ISO 19005-1:2005 - Document Management.

**Space Management**

HP RM Space Management lets you manage paper and other physical records in a long-term storage facility to meet your specific business needs. With HP RM Space Management, you can set up and manage your storage facility as a graphical hierarchy of arranged storage space. You can define a storage hierarchy model that represents your physical storage space and you can then set up different physical storage bay and shelving layouts in your model and design your space according to your organizations' needs.

**SharePoint**

HP RM can manage, finalize, relocate and archive all SharePoint content including blogs, wikis, discussions, documents, and sites, according to established business rules set at an administrative level. The Records Management module manages the life cycle of all SharePoint content according to these business rules and does this in a way that is completely transparent for the user. All managed content is and easily discoverable from SharePoint and HP RM with full audit trails maintained in HP RM for all managed content. With transparent records management for SharePoint content and the ability to search across SharePoint, federated data stores and HP RM from SharePoint staff productivity is greatly enhanced. The HP RM for SharePoint Archive module enables administrators to set lifetime management policies on content in SharePoint for automatic archival of entire sites as well as the content items. This capability is delivered with complete transparency to the user. The user can then search and discover archived content from SharePoint (dependent upon security permissions) and the site or content item can be restored to its original form.

**Licensing Options:** HP RM modules are licensed on a named user basis. Discounts are available for volume purchases. CCI/Arikkan offers a unique Software-as-a-Service (SaaS) model to minimize agency costs for both licensing and hardware needs.

### Platform – The Advantages of Our Proposed Architecture

CCI/Arikkan's proposed Maximum Availability Architecture (MAA) is a proven architecture that has been successfully implemented and running reliably in 20 data centers across the country. This architecture is highly available, scalable, redundant, resilient, and fault tolerant so that it can securely handle any number of concurrent users. This architecture has been used in production mode for 8+ years to support from 200 users in the State of Wyoming to 6500 users in the State of Colorado.

CCI/Arikkan's proposed security solution is considered an industry best practice from every standpoint. Unauthorized users are prevented from accessing the system in multiple ways and all communications are encrypted. Additionally, intrusion prevention systems, network and appliance sensors, and ongoing monitoring services are constantly inspecting and preventing attacks on the network and system (as opposed to simply identifying and detecting system attacks).

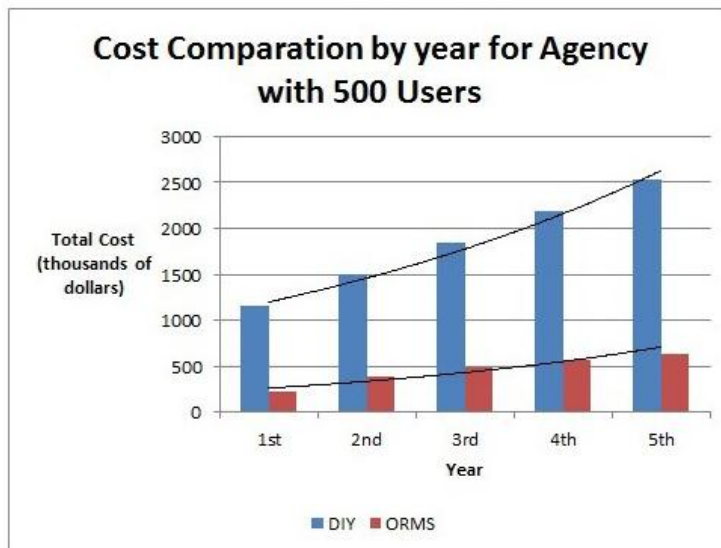
**Technologies** (hardware, software and standard services) used to address the challenge and the rationale for selection:

- HP TRIM® DoD5015.2 continually compliant software
  - Provide the highest level of information security,
  - Establish and enforce a security structure that automatically governs how users utilize information,
  - Help protect information with rigorous yet easy-to-manage security access controls,
  - Apply default security across Montana's enterprise to reduce the risk and burden of maintaining confidentiality,
  - Enforce security rules and procedures automatically, protecting agency or corporate information from inappropriate access and misuse.
- Maximum Availability (MAA) Architecture that is highly scalable, secure, reliable, available, and fault-tolerant with no-single point of failure
- Key components of the architecture
  - Server virtualization powered by VMware
  - Network Security by CISCO Firewall, Correro IPS, TripWire, IBM Proventia, etc
  - Storage powered by a state-of-the-art HP 3PAR Tier 1 Storage System
- Secured connectivity between the chosen data center and State and local government agencies
- Users connect through thick desktop client or thin web client
- Public records available to citizens through open web client
- Integration with MS Outlook, MS Office Suite, and SharePoint
- Open Software Development Kit (SDK) for any custom development needs

**Hosting Solution:** Montana will have options as to the choice of the cloud hosting environment. The cloud hosting can be located within a State Data Center (which we can build in cooperation with the State of Montana) or within the already functioning Synergy Data Center or a combination of both. *Hosting outside of Synergy Data center will require hardware acquisition and costs.*

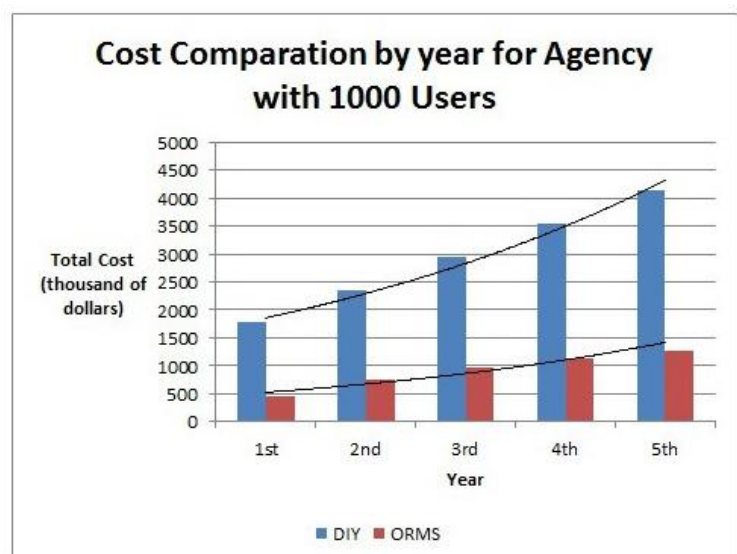
## Estimated Costs:

HP RM is a true, commercial-off-the-shelf (COTS) software solution designed to implement records and information management in support of organizational compliance. As a shared services model the State would reap the benefits of significant cost savings for a comprehensive solution; the more users on board the lower the cost per user.



These charts show the comparison of an Agency with 500 users and an Agency with 1000 users. The blue bars show the average costs of a “Do-it-yourself” model and the red bars show the average cost of our shared services model. The longer an Agency uses the model the more savings will be recognized by the Agency.

In addition, HP provides volume discount per-user license costs; i.e. the more licenses purchased, the less cost per user, as was demonstrated in the Oregon ORMS Project. The following is an example of the sliding cost model that is currently being used for the ORMS Project. A specific sliding cost model will vary for each project based on the options the State chooses within the HP RM software, the infrastructure and maintenance, and the training and support





options chosen by the State.

For instance, the cost for the Oregon entities is highly competitive as the Oregon State Archives Division provides much of the administrative set up and power user training for each of the Oregon agencies participating. We can provide that training for the users or we can assist the State in developing the same kind of program that has been successful in Oregon for an additional cost.

Number of Users	Cost per Month per User
2,000	\$37.02
3,000	\$37.02
4,000	\$29.74
5,000	\$26.66
6,000	\$24.06
7,000	\$21.61
8,000	\$19.62
9,000	\$18.81
10,000	\$17.53
11,000	\$16.55
12,000	\$15.71
13,000	\$14.68
14,000	\$14.02
15,000	\$13.55
16,000	\$12.54
17,000	\$11.96
18,000	\$11.44
19,000	\$10.99
20,000	\$10.54

## ECMS Specifications

Document Imaging Specifications		Out of the Box	Customization Required	3 <sup>rd</sup> Party Application	Comments
1.	Does the ECM provide imaging software to import basic scanned documents?	Yes			HP RM provides for documents queues (file folders accessible to the logged in client) which can be configured to automatically import documents into the system.
2.	Does the ECM support the following imaging capabilities:				
	Optical Character Recognition (OCR)			Onstream, Kofax, Teleform	HP RM can accept a wide variety of document types once OCR scanning has been completed.
	Intelligent Character Recognition (ICR)			Onstream, Kofax, Teleform	HP RM can accept a wide variety of document types once ICR scanning has been completed.
	Optical Mark Recognition (OMR)			Onstream, Kofax, Teleform	HP RM can accept a wide variety of document types once OMR scanning has been completed.
	Optical Bar Code Reader (OBR)	Yes			HP RM can be configured to process its own generated barcodes and external (foreign) barcodes.
	Mobile Capture – smart phones and other mobile devices	Yes			Through web client.

3.	Is the system compatible with Multi-functional Devices (MFDs) i.e. copiers, mobile device capture, fax server, email, and file import?	Yes			
4.	Does the system have the capability to do batch scanning and indexing?	Yes			
5.	Does the system provide the ability to capture index information from scanning/capture software?	Yes		Onstream, Kofax, Teleform	
<b>Content Management Specifications</b>		<b>Out of the Box</b>	<b>Customization Required</b>	<b>3<sup>rd</sup> Party Application</b>	<b>Comments</b>
1.	What kind of navigational capabilities does your solution support:				
	• Folders (similar to MS Windows Explorer)	Yes			
	• Key word search	Yes			
	• Formal taxonomy using document types and classes	Yes			
	• All of the above	Yes			
2.	Does your solution support remote access to the ECM system, i.e. for staff that work in the field and have the need to enter documents from the field?	Yes			Through web client.

3.	Does your solution provide access to documents on a public-facing online system?	Yes			Through Webdrawer.
4.	Does the ECM support multiple naming and archiving processes?	Yes			
5.	Does the ECM fully integrate with Microsoft Office applications (Word, Excel, PowerPoint, etc.)?	Yes			
6.	Does the ECM fully integrate with Microsoft Exchange?	Yes			HP RM allows full integration with email through Outlook rather than Exchange.
7.	Does your solution support email archiving and management capabilities?	Yes			
8.	Does the ECM allow access to documents by an Apple iOS or Android device?	Yes			Through web client.
9.	Does the ECM allow access to documents via web browser? If so, list the compatible browsers and versions in the Comments section.	Yes			Through web client. Generally compatible with all browsers that support HTML 5. MS IE, Firefox, Chrome, Safari.
10.	How does the solution manage documents with a retention policy?	Yes			Multiple retention policies and policy event triggers can be associated to records with several different methods.
11.	Provide examples of reports that can be used to ensure retention policies are being adhered to.	Yes			HP RM provides extensive tools for reporting. There is a report layout tool for building an unlimited number of report layouts. There are about 47 standard layouts that are shipped out of the box as a starting set. Report content

					<p>is based on search results, so any search result set can be sent to any report layout. In addition, there are a number of statistical summary reports out of the box.</p> <p>Two sample reports are provided as attachments (Exhibit 2 and Exhibit 3):</p> <p>HPTRIMDestructionReport.pdf – A list of records eligible for destruction, displayed in a custom layout.</p> <p>HPTRIMReportRecordsWithNoRetentionSchedule.pdf – A list of records with no assigned retention schedule, displayed in one of the standard layouts.</p>
12.	Search Capabilities				
	<ul style="list-style-type: none"> <li>Will the system accommodate full text OCR to search for and retrieve files?</li> </ul>	Yes			OCR is done outside the system, and full text indexing of OCR content in documents is a system function.
	<ul style="list-style-type: none"> <li>Does the ECM offer web-based and desktop client interface search and retrieval?</li> </ul>	Yes			
	<ul style="list-style-type: none"> <li>Does the ECM accommodate “Full Text Indexing” (i.e. OCR) to search for and retrieve files?</li> </ul>	Yes			OCR is done outside the system, and full text indexing of OCR content in documents is a system function.

	<ul style="list-style-type: none"> <li>Does the ECM allow users to configure custom searches that they commonly use?</li> </ul>	Yes			The system allows users to save an unlimited number of searches.
<b>Automated Workflow Specifications</b>		<b>Out of the Box</b>	<b>Customization Required</b>	<b>3<sup>rd</sup> Party Application</b>	<b>Comments</b>
1.	Does your ECMS support document-centric, author-review-approve automated workflow capabilities?	Yes			
2.	Does your ECMS support workflow automation for processing:				
	<ul style="list-style-type: none"> <li>E-forms for internal purposes</li> </ul>	Yes			
	<ul style="list-style-type: none"> <li>E-forms for external customer purposes</li> </ul>	Yes			
	<ul style="list-style-type: none"> <li>Work items (documents, reports, etc.)</li> </ul>	Yes			
	<ul style="list-style-type: none"> <li>Automatic notifications and emails</li> </ul>	Yes			
	<ul style="list-style-type: none"> <li>Workflow status tracking</li> </ul>	Yes			
3.	Does the system allow users to perform workflow activities using a standard web browser such as Internet Explorer and Mozilla Firefox?	Yes			
4.	Does workflow allow users to define conditions?	Yes			
5.	Can workflow be automated for a specific	Yes			



	document type and workflow template?				
6.	Does the workflow include E-signature capabilities?	Yes			
<b>Records Management Specification</b>		<b>Out of the Box</b>	<b>Customization Required</b>	<b>3<sup>rd</sup> Party Application</b>	<b>Comments</b>
1.	Include the use of back end migration to optical storage or similar technology that meets the State of Montana legislative compliance requirement for permanent records storage of documents. There should be assurance that records stored in the system cannot be altered.	Yes			
2.	Create, edit and manage a corporate “file plan” / records retention schedule, which contains information used to classify records.	Yes			
3.	Create and manage the record folders (and folder volumes) that are available to help organize the file plan.	Yes			
4.	Configure the system to easily declare objects as records in native authoring tools and specify which object classes and properties to manage.				This requirement would need additional clarification within the RFP in order for the Vendor to offer an answer.
5.	Create and manage records retention rules.	Yes			
6.	Create and manage physical boxes, folders and records.	Yes			

7.	Search for categories, folders and records.	Yes			
8.	Place holds against record categories or search results.	Yes			
9.	Identify appropriate metadata for all formats and sources.	Yes			
10.	Manage various record image / formats in an integrated manner.	Yes			
11.	Maintain the relationships between records and files, between file series and the file plan.	Yes			
12.	Retrieve information for personal use or to comply with Freedom of Information Act / discovery requests.	Yes			
13.	Construct and manage audit trails and track system usage by department and user.	Yes			
14.	Manage the integrity and reliability of records once they have been declared as such.	Yes			
15.	Identify records that are due for disposal when their prescribed retention periods elapse, managing the disposal process.	Yes			
16.	Provide a seamless integration of the ERMS (providing the records management logic) with an ECMS,	Yes			

17.	Records Manager Application will be a 100% Web-browser based application.				HP RM has both a desktop client version and browser-based version. The desk top version of the application is a thick client while the web-based application is a thin client.
18.	Views file plans and retention and disposition policies.	Yes			
19.	Provide interface capabilities to existing systems that create electronic records, via an application program interface (API) to integrate properly with the proposed ECMS.	Yes			Integrates with MS Office products out of the box. Can integrate with other programs through customization.
20.	ERP integration: support enterprise resource planning (ERP) systems APIs.	Yes			HP RM can store data exports as snapshots.
21.	Typical Reports: Including, but limited to, the following:				
	o Ready for Destruction report	Yes			
	o Future Disposition Schedules report	Yes			
22.	Maintain the relationships between records and files, between file series and the file plan.	Yes			
23.	Retrieve information to comply with Freedom of Information Act / discovery requests.	Yes			
24.	Associate the contextual and structural data within a document.	Yes			
25.	Construct and manage audit trails and track system usage by department and user.	Yes			

26.	Manage the integrity and reliability of records once they have been declared as such.	Yes			
27.	Identify records that are due for disposal when their prescribed retention periods elapse, managing the disposal process.	Yes			
<b>E-Form Specifications</b>		<b>Out of the Box</b>	<b>Customization Required</b>	<b>3<sup>rd</sup> Party Application</b>	<b>Comments</b>
1.	Do your E-forms support the need to retain the look and feel of paper forms?	Yes		Multiple options	HP RM provides for authoring of record entry E-forms, plus management and workflow for externally created E-forms.
2.	Do your E-forms support E-signatures?	Yes		Multiple options	All records stored in HP RM have support for E-signatures.
3.	Does your solution support public-facing E-forms that can be filled out and submitted on line?	Yes		Multiple options	

**4.0 Additional Information.** Provide any additional information that may be of interest to the State regarding your solution.

CCI/Arikkan will be happy to provide any additional information the State deems necessary. A more comprehensive response will be prepared for any published RFP related to this project. Thank you for the opportunity to assist the State's strategic planning team and other designees with this RFI process. CCI/Arikkan looks forward to working with the State of Montana and serving Montana citizens with leading edge technology that allows for transparent and comprehensive Records Management within Montana Government Agencies.